



**UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
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09/100,129 06/19/98 HAVERSTOCK

P 52817.000035

021967  
HUNTON AND WILLIAMS  
1900 K STREET N W  
WASHINGTON DC 20006

TM02/1226

EXAMINER

KANG, P

ART UNIT

PAPER NUMBER

2152  
DATE MAILED:

12/26/00

**Please find below and/or attached an Office communication concerning this application or proceeding.**

**Commissioner of Patents and Trademarks**

## Interview Summary

Application No.

09/100,129

Applicant(s)

Paul Haverstock, et al.

Examiner

Paul H Kang

Art Unit

2152

All participants (applicant, applicant's representative, PTO personnel):

(1) Paul H Kang, USPTO.

(3) Raphael Valencia, Reg. # P43,216.

(2) Mark Rinehart, USPTO.

(4) Brian Buroker, Reg. # 39,125.

Date of Interview: 20 December 2000.

Type: a) ☐ Telephonic b) ☐ Video Conference  
c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☒ Yes e) ☐ No.

If Yes, brief description: Agenda for Interview via fax. Sent 12/20/00, excerpted portion attached.

Claim(s) discussed: 1.

Identification of prior art discussed: Leone (5,745,360).

Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

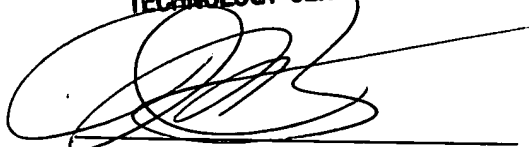
Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i) ☒ It is not necessary for applicant to provide a separate record of the substance of the interview (if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

MARK H. RINEHART  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100



Examiner's signature, if required

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

## Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check the appropriate box at the bottom of the Form which informs the applicant that the submission of a separate record of the substance of the interview as a supplement to the Form is not required.

It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The proposed amendment and further clarifying language to distinguish the invention as claimed over the prior art were discussed. In particular, the Applicant's position that "Leone does not appear to relate to workflow. Claims recite 'wherein the workflow process notifies at least one user that at least one action is required... and wherein the at least one user is someone other than a creator... of the objects.'" The proposed new claim language and clarifying items discussed would overcome applied rejection and will require further search and consideration. The Applicant will take further action as deemed appropriate.



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**FAX**

**TO**            **NAME:**                      Examiner Paul Kang  
                  **FIRM:**                        U.S. Patent & Trademark Office  
                  **LOCATION:**                    Arlington, VA

**FAX NO.:**                      703-305-3719  
                  **PHONE NO.:**                  703-308-6123

**PAGES (INCLUDING COVER):**      4  
                  **ORIGINAL TO FOLLOW IN MAIL:**    ☐ Yes ☒ No

**FROM**            **NAME:**                      Raphael Valencia  
                  **FLOOR:**                              11  
                  **DIRECT DIAL:**                    202-955-1876

**MESSAGE**

**IF PROBLEM WITH TRANSMISSION, PLEASE CONTACT OPERATOR AT (202) 955-1818.**

**OPERATOR**

**DATE:**                                  December 20, 2000  
                  **TIME:**  
                  **CLIENT/MATTER NAME:**  
                  **CLIENT/MATTER NO.:**              52817.000033

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December 20, 2000

FILE NO: 52817.000033

**PRIVILEGED AND CONFIDENTIAL  
ATTORNEY WORK PRODUCT  
VIA FAX**

Examiner Paul Kang  
Technology Center 2756  
U.S. Patent and Trademark Office  
Arlington, Virginia 22202

Re: Patent Application Serial Nos. ~~09/100,118; 09/100,120; 09/100,121;~~  
~~09/100,122; 09/100,123; 09/100,124;~~  
09/100,129; 09/100,130; 09/100,131

Dear Examiner Kang:

Per your request, I am enclosing an agenda comprising topics we would like to discuss during our personal interview scheduled for today, December 20, 2000, at 1:30 p.m. pertaining to the above-identified related patent applications. Jim Gatto is unable to attend the interview, therefore, Brian Buroker (Registration No. 39,125) will be attending. We look forward to discussing these issues with you.

If you have any questions or comments, please do not hesitate to contact me.

Very truly yours,

Raphael A. Valencia

Enclosures

- Application Serial No. 09/100,129
  - Leone does not appear to relate to workflow. Claims recite "wherein the workflow process notifies at least one user that at least one action is required... and wherein the at least one user is someone other than a creator... of the objects."